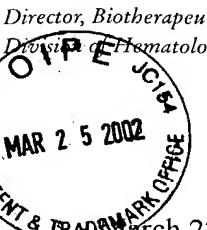


**Beth Israel Deaconess  
Medical Center**

Director, Biotherapeutics Development Lab  
Division of Hematology-Oncology



**Harvard Medical School**



March 22, 2002

**Richard P. Junghans, PhD, MD**

Beth Israel Deaconess Medical Center  
Harvard Institutes of Medicine

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617 432-7004 • FAX 617 432-7007  
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*OBGyn  
Box 5  
VJ*

Assistant Professor of Medicine

Member, Harvard Institute of Human Genetics

Director of the United States Patent and Trademark Office  
United States Patent and Trademark Office  
Washington, D.C. 20231

To Whom It May Concern:

As requested, attached are the Claims, Abstract, newly executed oath, a copy of the Sequence Listing with an amendment, a CRF (computer readable form) of the Sequence Listing along with a copy of the 1/25/2002 "Notice of Incomplete Nonprovisional Application" for application No. 10/006,771. The data contained in the CRF are identical to the written sequence and contain no new matter. The \$140 for multiple dependent claim surcharge may be charged to my Visa Card Account shown on the attached USPTO Credit Card Payment Form.

Please call my administrative assistant, Iris Bradley, with any questions.

Thank you.

Sincerely,

Richard P. Junghans, Ph.D., M.D.

Encl.

RPJ/ib

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/006,771         | 12/10/2001          | Richard P. Junghans   |                        |

## CONFIRMATION NO. 2049

## FORMALITIES LETTER



\*OC000000007808995\*

Richard P. Junghans, Ph.D., M.D.  
One Lyndeboro Place  
Boston, MA 02116

Date Mailed: 04/08/2002

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice MUST be returned with the reply.*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/006,771         | 12/10/2001          | Richard P. Junghans   |                        |

## CONFIRMATION NO. 2049

## FORMALITIES LETTER



\*OC000000007367508\*

Richard P. Junghans, Ph.D., M.D.  
 One Lyndeboro Place  
 Boston, MA 02116

Date Mailed: 01/25/2002

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- Total additional claim fee(s) for this application is \$140.
  - \$140 for multiple dependent claim surcharge.
- The balance due by applicant is \$ 140.

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- The Claim(s) commencing on a separate sheet (37 CFR 1.75(h)).
- Abstract must be on a separate sheet
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant

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desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

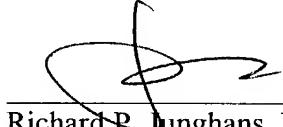
PART 1 - ATTORNEY/APPLICANT COPY

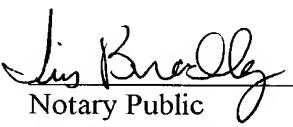
### **Oath or Declaration**

The oath or declaration must identify the application with which it is associated, and must give the name, city and either state or country of residence, country of citizenship, and post office address of each inventor. It must state whether the inventor is a sole or joint inventor of the invention claimed. Additionally, designation of a correspondence address is needed on the oath or declaration. Providing a correspondence address will help to ensure prompt delivery of all notices, official letters, and other communications.

I the undersigned declare that I am the sole inventor of the invention titled:

**CHIMERIC EFFECTOR CELL RECEPTORS AGAINST CARCINOEMBRYONIC ANTIGEN**

 3/22/02  
Richard P. Junghans, Ph.D., M.D.  
One Lyneboro Place  
Boston, MA 02116 USA

 3/22/02  
Notary Public  
Commission Expires: 6/26/03